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ATTY DOCKET NO. 4 TO SERIAL NO. 4 T FORM PTO-1440 (modified) Serial no. 09/750, 480 LIST OF PATENTS AND 89-VIB (cont) **PUBLICATIONS FOR APPLICANT'S** APPLICANT: Mitchell R. Swartz INFORMATION DISCLOSURE **STATEMENT** FILING DATE: GROUP: 12/28/00 3641 REFERENCE DESIGNATION U.S. PATENT DOCUMENTS DOCUMENT NUMBER NAME **EXAMINER** INITIAL AA AC FOREIGN PATENT DOCUMENTS COUNTRY **EXAMINER** DATE CLASS SUB **DOCUMENT NUMBER** INITIAL CLASS AD OTHER ART (including Author, Title, Date, Pertinent Pages, Etc.) Mizuno, et al, Isotopic Distribution of Elements Evolved ΑĒ in Pd Cathode, Abstract ICCF-6 TS-003 (1996) Mizuno et alia, "Isotopic Changes of the Reaction Products Induced ... in Pd", JNE1,3, 31-45 (96) AF Mizuno T, Akimoto T, Azumi K, Kitaichi M, Kurokawa K; Fusion Technol. 29 (1996) 385 Anomalous heat evolution from a solid-state electrolyte under alternating AG current in high-temperature D2 gas. Mizuno, et al, Anomalous Heat Evolution from SrCeO3-Type Proton Conductors, Cold Fusion Times, 1, et al, Anomalous Heat Evolution from AF 4, 9 (1994) Niedra, et alia, Replication of ... NASA Memorandum 107167 (1996) light water Nickel". AG Niedra, et alia, Replication of Apparent Excess Heat Effect", reviewed in Cold Fusion Times, 4, 3, pp5 (1996) AΗ Nobel, Dash, et al, "Electrolysis of Heavy Water with Pd and Sulfate Composite", ICCF-5 Proceedings, Monaco, AI -136-139 (1995) Noninski VC, Noninski CI; Fusion Technol. 23 (1993) 474. Notes on two papers claiming no evidence for the ΑJ existence of excess energy Notoya, R., Noya. Y, Ohnishi, T., "Tritium Generation and LArge Excess Heat Evolution by Electrolysis in Light AK and Heavy Water-potassium Carbonate solutions with Nickel Electrodes", Fusion Technology, 26, 179-183, DATE CONSIDERED EXAMINERExaminer: Palabrica, R.J. EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line

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ATTY DOCKET NO. 10 Codific SERIAL NO. 14 C FORM PTO-1440 (modified) LIST OF PATENTS AND 89-VIB (cont) == -Serial no. 09/750, 480 APPLICANT: Mitchell R: Swartz **PUBLICATIONS FOR APPLICANT'S** ទ្រាល់ស្រាស់ ស្រុក្សាស្រាស់ បាន ស្ពេសា ហេ ប្រភព និ INFORMATION DISCLOSURE STATEMENT FILING DATE: GROUP: 12/28/00 REFERENCE DESIGNATION ... U.S. PATENT DOCU NAME DOCUMENT NUMBER DAT INITIAL AA AB FOREIGN PATENT DOCUMENTS COUNTRY CLASS SUB **TRANS** DOCUMENT NUMBER DATE EXAMINER CLASS LATION INITIAL AD OTHER ART (including Author, Title, Date, Pertinent Pages, Etc.) Notova, "Alkali-Hydrogen Cold Fusion Accompanied by ΑE Tritium Production on Nickel," Transactions of Fusion Technology, 26, 205-208 (Dec 1994). Notoya, R., "CF by electrolysis in light water potassium AF carboinate soution with a nickel electrode", Fusion Technology, 24, 202, (1993) Ogawa et alia, "Correlation of Excess Heat and Neutron AG Emission...". ICCF6 abstract O-042(1996) Ohmori etal, Production Heavy metal elements", Abstract AF ICCF-6TS-004 (1996) Ohmori, Mizuno, Enyo, JNE1,3, 90-99 (96), Isotopic AG. Distributions of Heavy Metal Elements .. Gold Electrode" Oriani, Confirmation of Anomalous Thermal Power AΗ Generation", Abstract ICCF-6 O-036(1996) Oriani, "Take CF Seriously" Advises Chemist at IT", Cold ΑI Fusion Times, 3, 2, p2 (1995) Perfetti P, Cilloco F, Felici R, Capozi M, Ippoliti AJ A; Nuovo Cimento Soc. Ital. Fis. D 11 (1989)

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ATTY DOCKET NO. 480-Series I

SERIAL NO. Serial no. 09/750, 480

APPLICANT: Dr. Mitchell Swartz

LIST OF PATENTS AND **PUBLICATIONS FOR APPLICANT'S** INFORMATION DISCLOSURE STATEMENT

FILING DATE: Filed: 12/28/2000 GROU 3641

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SERIAL D. Serial no. 09/00,

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APPLICANT: Dr. Mitchell Swa

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ATTY DOCKET NO. SERIAL NO. FORM PTO-1440 (modified) 480-Series I Serial no. 09/750, 480 LIST OF PATENTS AND APPLICANT: Dr. Mitchell Swartz **PUBLICATIONS FOR APPLICANT'S** GROBECEIVED INFORMATION DISCLOSURE FILING DATE: **STATEMENT** Filed: 12/28/2000 REFERENCE DESIGNATION U.S. PATENT DOCUMENTS EXAMINER DOCUMENT NUMBER DATE NAME INITIAL FOREIGN PATENT DOCUMENTS* DOCUMENT NUMBER DATE EXAMINER COUNTRY CLASS SUB **TRANS** INITIAL CLASS LATION AC. AD OTHER ART (including Author, Title, Date, Pertinent Pages, Etc.) AR Petition for Writ of Certiorari Applicant vs. O. Todd Dickinson 2/2003 AS Letter to Dagani from Dr. Miles, 5/20/98 regarding issues cited by Office AT Letter to the Dr. Morrison, 7/23/96 regarding issues cited by Office AU Letter to Dr. Miller, 9/24/97 regarding issues cited by Office ÁΫ Letter to Mr. Murray, 3/7/98 regarding issues cited by ΑX AY AZ EXAMINER: Examiner: Palabrica, R.J. DATE CONSIDERED



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LIST OF PATENTS AND
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ATTY DOCKET NO. 480-Series I

SERIAL NO. Serial no. 09/750, 480

APPLICANT: Dr. Mitchell Swart

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ATTY DOCKET NO. 10 SERIAL NO. FORM PTO-1440 (modified) 89-VIB (cont) Serial no. 09/750, 480 LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S APPLICANT:: Mitchell R. Swartz INFORMATION DISCLOSURE STATEMENT FILING DATE: 12/28/00 U.S. PATENT DOCUMENTS REFERENCE DESIGNATION **DOCUMENT NUMBER** NAME CLÁSS EXAMINER DAT INITIAL AA AB AC FOREIGN PATENT DOCUMENTS CLASS COUNTRY SUB **TRANS EXAMINER** DOCUMENT NUMBER DATE CLASS INITIAL LATION AD OTHER ART (including Author, Title, Date, Pertinent Pages, Etc.) Storms E; "A very unscientific ... take on other CF **AE** effects", COLD FUSION, 1, 1, 43 (1994) "Some characteristics of Heat Production", AF Trans Fusion Technology, vol26, 96-100 (1994) Storms, Measurements of Excess Heat of a PF Cell, Fusion Tech, 23, 230 (1993) AG Storms 'E, Talcott C; Fusion Technol. 17 (1990) AF 680. Electrolytic tritium production. Swartz, M., 1996, "Possible Deuterium Production From AG Light water excess enthalpy experiments using Nickel Cathodes", Journal of New Energy, 3, 68-80 (1996) Swartz, M., 1997, "Hydrogen Redistribution By AH` Catastrophic Desorption In Select Transition Metals", Journal of New Energy, 1, 4, 26-33 Swartz, M., 1992, "Quasi-One-Dimensional Model of Electrochemical Loading of Isotopic Fuel into a Metal", Fusion Technology, 22, 2, 296-300 ΑI Swartz, M., 1994, "Isotopic Fuel Loading Coupled To Reactions At An Electrode". Fusion Technology, 96, 4T, AJ

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ATTY DOCKET NO. SERIAL NO. **EORM PTO-1440** (modified) 89-VIB (cont) Serial no. 09/750, 480 LIST OF PATENTS AND APPLICANT: Mitchell R. Swartz **PUBLICATIONS FOR APPLICANT'S** INFORMATION DISCLOSURE STATEMENT FILING DATE: GROUP: 12/28/00 3641 U.S. PATENT DOCUMENTS REFERENCE DESIGNATION DOCUMENT NUMBER CLASS FILING EXAMINER DAT INITIAL AR FOREIGN PATENT DOCUMENTS SUB COUNTRY CLASS EXAMINER DOCUMENT NUMBER CLASS INITIAL AD OTHER ART (including Author, Title, Date, Pertinent Pages, Etc.) Science and Engineering of Hydrided Metals Series, Volume 2 - "Calorimetric Complications The Examination of the AE Phase II Experiment and Other Select Calorimetric Issues, Ed. M. Swartz, JET Technology Press, Wellesley Hills, MA, ISBN 1-890550-02-7 (1999) Swartz, M., 1997B, "Hydrogen Redistribution By Catas rophic Desorption in Select Transition Metals", Journal of New Energy, 1, 4, 26-33 AF Swartz, M., 2002, G. Verner, A. Frank, "The Impact of Heavy Water (D₂O) on Nickel-Light Water Cold Fusion Systems", *Proceedings of ICCF-9*, China AG Szpak S, Mosier-Boss PA, , JNE1,3, 54-67 (96) Nuclear and Thermal Events assoc with Codeposition. AF Szpak S,et al; J. Electroanal. Chem. 309 (1991) 273. Electrochemical Charging of Pd rods AG Szpak S, Mosier-Boss PA, Smith JJ; J. Electroanal. Chem. 302 (1991) 255. On the behavior of Pd deposited AH in the presence of evolving deuterium. Tajima, H. Iyetomi, S. Ichimaru, "Influence of Attractive Interaction Between Deuterons in Pd on Nuclear Fusion", AI J. of Fusion Energy, 9, 437, (1990). Takahashi et al, "Windows of CNF and Pulsed Expts", Fusion Tech, 19, 380-390 (1991) AJ Tinsley, Solid State alters nuclear Behavior", Cold Fusion, 1, 1, 18 (1994) AK MINER DATE CONSIDERED Examiner: Palabrica, R.J.

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